

(1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER
109919

**TRANSMITTAL LETTER TO THE
UNITED STATES
DESIGNATED/ELECTED OFFICE
(DO/EO/US) CONCERNING A FILING
UNDER 35 U.S.C. 371**

U.S. APPLICATION NO.
(if known, sec 37 C.F.R.1.5)
09/869,121

INTERNATIONAL APPLICATION NO.
PCT/JP99/07093

INTERNATIONAL FILING DATE
December 17, 1999

PRIORITY DATE CLAIMED
December 25, 1998

TITLE OF INVENTION
METHOD AND APPARATUS FOR PRODUCING MASK

APPLICANT(S) FOR DO/EO/US
Naomasa SHIRAISHI

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☐ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ Entitlement to small entity status is hereby asserted.
16. ☐ Other items or information:

U.S. APPLICATION NO. (if known, see 37
C.F.R. 1.5) 09/869,121

INTERNATIONAL APPLICATION NO.
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17. ☐ The following fees are submitted:

Basic National fee (37 CFR 1.492(a)(1)-(5)):

Search Report has been prepared by the EPO or JPO\$860.00

International preliminary examination fee paid to USPTO
(37 CFR 1.482)\$690.00

No international preliminary examination fee paid to USPTO
(37 CFR 1.482) but international search fee paid to USPTO
(37 CFR 1.445(a)(2))\$710.00

Neither international preliminary examination fee (37 CFR
1.482) nor international search fee (37 CFR 1.445(a)(2))
paid to USPTO\$1,000.00

International preliminary examination fee paid to USPTO
(37 CFR 1.482) and all claims satisfied provisions of PCT
Article 33(2)-(4)\$ 100.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than
☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR
1.492(e)).

Claims	Number Filed	Number Extra	Rate
Total Claims	- 20 =		X \$ 18.00
Independent Claims	- 3 =		X \$ 80.00
Multiple dependent claim(s)(if applicable)			+ \$270.00

TOTAL OF ABOVE CALCULATIONS =

Reduction by 1/2 for filing by small entity, if applicable. -

SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later
than ☐ 20 ☐ 30 month from the earliest claimed priority date (37 CFR
1.492(f)). +

TOTAL NATIONAL FEE =

Amount to be
refunded \$

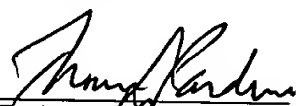
Charged \$

- a. ☐ Check No. _____ in the amount of \$ _____ to cover the above fees is enclosed.
b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy
of this sheet is enclosed.
c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment,
to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

OLIFF & BERRIDGE, PLC
P.O. Box 19928
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NAME: James A. Oliff
REGISTRATION NUMBER: 27,075

Date: October 22, 2001

NAME: Thomas J. Pardini
REGISTRATION NUMBER: 30,411

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#6

In re the Application of

Naomasa SHIRAISHI

Application No.: 09/869,121

Filed: October 15, 2001

Docket No.: 109919

For: METHOD AND APPARATUS FOR PRODUCING MASK

INFORMATION DISCLOSURE STATEMENT

Director of the U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

Pursuant to 37 CFR §1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. Unless otherwise indicated herein, one copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of this non-CPA application, OR (b) before the mailing date of a first Office Action on the merits in the present application. No certification or fee is required.
- ☒ 2. References 1-3 and 5-11 were cited in a counterpart foreign application. An English language version of the foreign search report is attached for the Examiner's information.
- ☒ 3. References 4 and 12 were cited in a counterpart foreign application. An English language version of the International Preliminary Examination Report is attached for the Examiner's information.

Respectfully submitted,



James A. Oliff
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JAO:TJP/zmc
Date: October 22, 2001

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<p>DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
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Form PTO-1449 (REV. 8-83)		US Dept. of Commerce PATENT & TRADEMARK OFFICE		ATTY DOCKET NO. 109919		APPLICATION NO. 09/869,121	
INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)				APPLICANT(S) Naomasa SHIRAISHI			
				FILING DATE October 15, 2001			
U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	
	1	5,364,716	11/15/1994	Nakagawa et al.			
	2	5,472,813	12/05/1995	Nakagawa et al.			
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	
	3	EP 0 534 463 B1	09/06/2000	Europe			
	4	JP A 57-23940	02/08/1982	Japan			
	5	JP A 3-173219	07/26/1991	Japan			
	6	JP A 4-76551	03/11/1992	Japan			
	7	JP A 4-337732	11/25/1992	Japan			
	8	JP A 5-165191	06/29/1993	Japan			
	9	JP A 5-204131	08/13/1993	Japan			
	10	JP A 5-72717	03/26/1993	Japan			
	11	JP A 7-152147	06/16/1995	Japan			
	12	JP A 7-201725	08/04/1995	Japan			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)							
EXAMINER					DATE CONSIDERED		
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							